



09/19/00

# PATENT APPLICATION TRANSMITTAL LETTER

09-20-00

To The Commissioner For Patents:  
Transmitted herewith for filing under 35 U.S.C. 111 and 37 CFR 1.53 is the patent application of:

Glen H. Erikson and Jasmine I. Daksis  
entitled:  
**QUADRUPLEX DNA AND DUPLEX PROBE SYSTEMS**

Box/Seq A  
Our Docket No. E1047/20044

## Enclosed are:

- ☒ 36 pages of written description, claims and abstract.
- ☒ 5 sheets of drawings.
- ☒ an assignment of the invention to Ingeneus Corporation
- ☒ recordation sheet for assignment
- ☒ executed declaration of the inventor(s) and power of attorney.
- ☐ certified copy of a \_\_\_\_\_ application.
- ☒ verified statement to establish small entity status under 37 CFR 1.9(f) and 1.27(b) - Independent Inventor.
- ☒ verified statement to establish small entity status under 37 CFR 1.9(f) and 1.27(c) - Small Business Concern.
- ☒ information disclosure statement.
- ☒ preliminary amendment.
- ☒ other: Sequence Listing (Paper and CRF)

JC820 U.S. PTO

09/19/00



	CLAIMS AS FILED		Rate	Fee
	Number Filed	Number Extra		
BASIC FEE				
TOTAL CLAIMS	52 - 20 =	32	\$690	\$690
INDEPENDENT CLAIMS	2 - 3 =	0	x 18	\$576
MULTIPLE DEPENDENT CLAIM PRESENT			x 78	\$0
			\$	\$0
*Number Extra Must Be Zero or Larger				
If Applicant has small entity status under 37 CFR 1.9 and 1.27, then divide total fee by 2 and enter amount here				
			TOTAL	\$1266.00
			SMALL ENTITY TOTAL	\$633.00

- ☒ The Commissioner is hereby authorized to charge \$633.00 to cover the payment of the filing fee to our **Deposit Account No. 03-0075** (duplicate attached).
- ☒ The Commissioner is hereby authorized to charge any deficiency in the payment of the required fee(s) or credit any overpayment to our **Deposit Account No. 03-0075**.
- ☐ Charge the issue fee set in 37 CFR 1.18 at the mailing of the Notice of Allowance, pursuant to 37 CFR (1.311(b)).

David M. Tener, Esq.  
CAESAR, RIVISE, BERNSTEIN,  
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(215) 567-2010

Sept. 19, 2000  
Date

Applicants : Glen H. Erikson and Jasmine I. Daksis  
Invention : QUADRUPLEX DNA AND DUPLEX PROBE SYSTEMS

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This is a patent application which includes the following:

1. Transmittal letter in duplicate
2. Drawings – 5 sheets
3. Specification – 36 pages
4. 52 Claims
5. Abstract – 1 page
6. Declaration for Patent Application -- 1 pages
7. Verified Statement Claiming Small Entity Status–  
(37 CFR 1.9(f) & 1.27 (b)) - Independent Inventor
8. Verified Statement Claiming Small Entity Status–  
(37 CFR 1.9(f) & 1.27 (c)) - Small Business Concern
9. Assignment of Glen H. Erikson and Jasmine I. Daksis  
and Recordation Sheet
10. Sequence Listing (Paper and CRF)
11. Return Receipt Postcard

“Express Mail” Mailing Label No. EL 618129273 US

Date of Deposit **September 19, 2000**

I hereby certify that the above-identified documents  
are being deposited with the United States Postal  
Service “Express Mail Post Office to Addressee”  
service under 37 CFR 1.10 on the date indicated above  
and are addressed to the Commissioner for Patents,  
Washington, D.C. 20231

  
\_\_\_\_\_  
Judith Perez

306760-234930

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(b))—INDEPENDENT INVENTOR**

Docket Number (Optional)  
E1047/20044

Applicant, Patentee, or Identifier: Glen H. Erikson et al.

Application or Patent No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

Title: Quadruplex DNA and Duplex Probe Systems

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization exists.  
☒ Each such person, concern, or organization is listed below.

Ingeneus Corporation  
Trident House  
Broad Street  
Bridgetown Barbados

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Glen H. Erikson

Jasmine I. Daksis

NAME OF INVENTOR

NAME OF INVENTOR

NAME OF INVENTOR

Signature of inventor

Signature of inventor

Signature of inventor

Date

Date

Date

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c) SMALL BUSINESS CONCERN)

Docket Number (Optional):  
E1047/20044

Applicant or Patentee: Glen H. Erikson and Jasmine I. Daksis

Serial or Patent No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

Title: Quadruplex DNA and Duplex Probe Systems

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Ingeneus Corporation

ADDRESS OF SMALL BUSINESS CONCERN Trident House, Broad Street, Bridgetown, Barbados

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

☒ the specification filed herewith with title as listed above.

☐ the application identified above.

☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

☒ no such person, concern, or organization exist.

☐ each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Glen H. Erikson

TITLE OF PERSON IF OTHER THAN OWNER \_\_\_\_\_

ADDRESS OF PERSON SIGNING Providenciales, Turks and Caicos Islands, British West Indies

SIGNATURE Glen H. Erikson

DATE 15 Sept 2000